

9/493750

filed 1/28/00

Nguyen, Cuong

**From:** DeMille, Ginger R. (ASRC)  
**Sent:** Friday, February 20, 2004 3:10 PM  
**To:** Nguyen, Cuong  
**Subject:** Just a few tips until your search can be fully executed

? ds

Set Items Description

S1 1726837 (THIRD() PARTY OR 3RD() PARTY OR (DIFFERENT OR ANOTHER OR FO-  
RTH) (1W) (PARTY OR INDIVIDUAL OR BIDDER OR PERSON) OR INTERMED-  
IARY OR INTERMEDIARIES OR BROKER)  
S2 975 S1(5N) (LEND? OR LOAN? OR CONSUMMAT? OR ABSORB? ? OR COVER?  
? OR PICKS()UP OR PAYS) (3N) (PRICE OR COST)  
S3 55 S2(S) (AUCTION? ? OR TRANSACTION)  
S4 31 S3 NOT PY>1999  
S5 16 RD (unique items)  
S6 434 S2 NOT PY>1999  
S7 318 RD (unique items)  
S8 45 S7 AND (ONLINE OR ON()LINE OR INTERNET? OR NETWORK? OR COM-  
PUTER? OR LAN OR WAN OR INTRANET? OR PORTAL OR WEB OR WEBSITE?  
OR WEBPAGE? OR WEB()PAGE? OR WEB()SITE?) /TI,DE,TT,AB  
S9 45 RD (unique items)  
S10 74 (BIDDER OR PURCHASER OR BUYER OR CONSUMER) (W) (DOES()T OR D-  
OES() "NOT" OR SHORT OR DEFICIENT OR "NOT" ()ENOUGH OR "IS") (1W-  
) (CASH OR MONEY).  
S11 0 S2 AND S10  
S12 41998 S1(5N) (LEND? OR LOAN? OR CONSUMMAT? OR ABSORB? OR COVER? OR  
PICKS()UP OR PICK?()UP)  
S13 2 S10 AND S12  
S14 57 RD S10 (unique items)  
S15 3812676 AUCTION OR TRANSACTION OR ECOMMERCE OR (E OR ELECTRONIC) ()-  
COMMERCE OR (ONLINE OR ONLINE OR E) () (SHOPPING OR PURCHASING -  
OR BUYING)  
S16 324077 S1 AND S15  
S17 261 (COVER? OR TAKES()CARE OR TAKING()CARD OR HANDLES OR (PAYS  
OR PAYING) () "FOR" OR ABSORBS) (5W) (DIFFERENCE OR SHORTFALL) (5W-  
) PRICE  
S18 3 S16 AND S17  
?

? t18/3, k/all

<http://www.investopedia.com/university/futures/> - futures contracts? a contract between a buyer and seller for future products. Maybe the third party can come in a pay when one party doesn't have the money.

A few hits that I saw....looked at a lot...nothing really good. Would need more time.

t23/3, k/all

23/3, K/1 (Item 1 from file: 15)  
DIALOG(R) File 15: ABI/Inform(R)

2/22/04

00726936 93-76157

**Commodity Derivatives**

Brady, Simon

Euromoney Supplement PP: 9-11 Jun 1992

ISSN: 0014-2433 JRNL CODE: ERM

WORD COUNT: 2554

...TEXT: the fixed price--\$19 a barrel--on the same quantity of oil.

If the floating **price** exceeds the fixed **price** , then the producer **pays** the **difference** to the **intermediary** . If the floating **price** sinks below the fixed **price** , then the **intermediary pays** the producer the **difference** . The producer has fixed the price he receives for his oil at \$19, but has...

**23/3,K/2 (Item 1 from file: 16)**

DIALOG(R) File 16:Gale Group PROMT(R)

(c) 2004 The Gale Group. All rts. reserv.

09881726 Supplier Number: 87530442 (USE FORMAT 7 FOR FULLTEXT)

**Blow to Yield-Spread Suit Is Boon to Brokers.**

Williams, Jeffrey Ross

American Banker, p14

June 20, 2002

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 1696

... interest rate, the lender is able to sell it to an investor at a higher **price** . In turn, the **lender pays** the **broker** an amount reflective of this **price difference** .

Minimizing settlement costs through a yield-spread premium lets tens of thousands of homebuyers each...

**23/3,K/3 (Item 2 from file: 16)**

DIALOG(R) File 16:Gale Group PROMT(R)

(c) 2004 The Gale Group. All rts. reserv.

06915481 Supplier Number: 58362001 (USE FORMAT 7 FOR FULLTEXT)

**Hedging paper bets.**

Oberndorf, Shannon

Catalog Age, v16, n13, p10

Dec, 1999

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 528

... market price. Conversely--and this is where the cataloger takes a risk--if the market **price** falls below the contracted fixed **price** , the cataloger **pays** the **third party** the **difference** .

The fixed **price** is based on market paper indices such as Pulpex and Resource Information Systems Inc. The...

**23/3,K/4 (Item 3 from file: 16)**

DIALOG(R) File 16:Gale Group PROMT(R)

23481547 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Blow to Yield-Spread Suit Is Boon to Brokers**  
AMERICAN BANKER, p14  
June 20, 2002  
JOURNAL CODE: WAMB LANGUAGE: English RECORD TYPE: FULLTEXT  
WORD COUNT: 1076

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... interest rate, the lender is able to sell it to an investor at a higher **price** . In turn, the **lender pays the broker** an amount reflective of this **price difference** .  
Minimizing settlement costs through a yield-spread premium lets tens of thousands of homebuyers each...

**23/3,K/8 (Item 2 from file: 20)**  
DIALOG(R) File 20:Dialog Global Reporter  
(c) 2004 The Dialog Corp. All rts. reserv.

05184388 (USE FORMAT 7 OR 9 FOR FULLTEXT)  
**Money: Save up for do-it-yourself insurance: Much cover is just a waste of money, says Edmund Tirbutt**  
SECTION TITLE: Business  
EDMUND TIRBUTT  
INDEPENDENT ON SUNDAY  
May 02, 1999  
JOURNAL CODE: FINS LANGUAGE: English RECORD TYPE: FULLTEXT  
WORD COUNT: 808

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... excess of pounds 300 or pounds 400.  
"For older drivers, on the other hand, the **difference in cost** between **third party** , fire and theft and comprehensive **cover** is often as little as 20 per cent. Indeed we've had cases when they...  
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**20/3,K/6 (Item 2 from file: 148)**  
DIALOG(R) File 148:Gale Group Trade & Industry DB  
(c) 2004 The Gale Group. All rts. reserv.

10173675 SUPPLIER NUMBER: 20480477 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
**Agencies Pay for Fear of Hedging, Analysts Say.**  
Kovski, Alan  
Oil Daily, v48, n70, p1(1)  
April 13, 1998  
ISSN: 0030-1434 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 784 LINE COUNT: 00062

... locked-in diesel price is 48.74 cents/gallon, a deal won by a single **broker** through a competitive bid.  
It is a fixed-for-floating swap. Marta pays the difference if the market price is lower; the counterparty **broker covers the difference** if the market **price** is higher.  
Hedging has saved Atlanta \$2.2 million over the last decade, said Marta...

(c) 2004 The Gale Group. All rts. reserv.

04793873 Supplier Number: 47054650

**Nasdaq's new world order.**

Dutt, Jill

The Washington Post, pC1

Jan 21, 1997

Language: English Record Type: Abstract

Document Type: Newspaper; General Trade

**ABSTRACT:**

...new rules put into effect by the Securities and Exchange Commission. The "spread" is the **difference** between the **cost** of a share bought by the **broker** and the **price** the customer **pays** for that share. The new rules are designed to help public customers get better prices...

**23/3,K/5 (Item 1 from file: 148)**

DIALOG(R)File 148:Gale Group Trade & Industry DB

(c)2004 The Gale Group. All rts. reserv.

10173675 SUPPLIER NUMBER: 20480477 (USE FORMAT 7 OR 9 FOR FULL TEXT)

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**23/3,K/6 (Item 2 from file: 148)**

DIALOG(R)File 148:Gale Group Trade & Industry DB

(c)2004 The Gale Group. All rts. reserv.

07582417 SUPPLIER NUMBER: 16465198 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Why it pays to buy funds through a discount broker. (mutual funds) (includes related articles) (1995 Financial Planning Guide)**

Weber, Diane

Medical Economics, v71, n21, p133(5)

Nov 7, 1994

ISSN: 0025-7206 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 2278 LINE COUNT: 00171

... broker to fax you a list of prices. Ask the brokers about the spreads--the **difference** between the "bid" **price** the **broker pays** and the "ask" **price** you'd pay--to weed out any that are overpriced. Prices can change daily, though...

**23/3,K/7 (Item 1 from file: 20)**

DIALOG(R)File 20:Dialog Global Reporter

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18/3, K/1 (Item 1 from file: 15)  
DIALOG(R) File 15:ABI/Inform(R)  
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A  
02043984 56487969

**More for the money**

Bankston, Karen  
Credit Union Management v23n7 PP: 36-40 Jul 2000  
ISSN: 0273-9267 JRNL CODE: CUM  
WORD COUNT: 2577

*3rd party*

...TEXT: of vehicles in the event of repossession, theft or total accidental loss. That insurance also **covers** the **difference** between the **auction price** of a car turned back to the credit union at the end of the loan term and its residual value.

Agents serve as **intermediaries** for the insurance coverage and manage the end-of-term process, picking up and disposing...

... checks to cover the residual-one in the amount the vehicle was sold for at **auction** and the second to cover any difference-he says.

In conjunction with its auto loan...

18/3, K/2 (Item 2 from file: 15)  
DIALOG(R) File 15:ABI/Inform(R)  
(c) 2004 ProQuest Info&Learning. All rts. reserv.

4  
00934629 95-84021

**USA: Legal aspects of securities lending and repo**  
Lind, Jon; Chapman, Cornelius  
International Securities Lending Worldwide Directory of Securities Lending  
PP: 228-231 1994/1995  
ISSN: 0964-9301 JRNL CODE: ISL  
WORD COUNT: 4141

...ABSTRACT: to by the parties in such transactions. Federal Reserve System Regulation T states that a **broker** or dealer may borrow or lend securities for the purpose of making delivery of the...

...TEXT: agreed to by the parties in such transactions.

This article explains a typical securities lending **transaction** conducted in the US, will discuss the major regulations or industry customs, and set forth...

... will not discuss the statutes, regulations and case law relating to tax issues

**THE TYPICAL TRANSACTION**

Although securities lending can involve several parties acting in varying capacities, the most common type of **transaction** involves three participants: the lender, who has eligible securities to loan, the borrower, who borrows...

... which will offset trustee and custodial fees, and improve portfolio performance. The income produced per **transaction** is nominal, but the

overall effect is substantial due to the volume of securities being...

...portfolio to an approved borrower in return for a fee.

As part of the overall **transaction**, the borrower must give collateral to the lender. The value of the collateral given must...

...by and to brokers and dealers.

Section 220.16 of Regulation T states that a **broker** or dealer may borrow or lend securities for the purpose of making delivery of the...with respect to securities lending. Paragraph (b)(1) of the rule generally provides that a **broker** or dealer shall promptly obtain and maintain the physical possession or control of all fully-paid securities and excess margin securities carried by a **broker** or dealer for the account of customers. Since the definition of customer under Rule 15c3-3 is quite encompassing, a **broker** or dealer would not be able to enter into securities lending transactions with a customer...

... However, paragraph (b)(3) provides an exception to retaining physical possession by providing that a **broker** or dealer shall not be deemed to be in violation of the provisions of paragraph (b)(1) if the **broker** or dealer and the lender, at or before the time of the loan, enter into...

... securities actually borrowed at the time of the borrowing of the securities;

\* Specifies that the **broker** or dealer (A) must provide to the lender, upon the execution of the agreement or...

... day exceeds 100 per cent of the collateral then held by the lender, the borrowing **broker** or dealer must provide additional collateral of the type described in proviso (iii)(A) above...

... Protection Act of 1970 may not protect the lender with respect to the securities loan **transaction** and that, therefore, the collateral delivered to the lender may constitute the only source of satisfaction of the **broker**'s or dealer's obligation in the event the **broker** or dealer fails to return the securities.

DEPARTMENT OF LABOR PROHIBITED **TRANSACTION EXEMPTIONS** 81- ...to the pension plans. The Department of Labor issued two exemptions for Erisa plans. Prohibited **Transaction** Exemption 81-6 (46 FR 7527) issued January 23, 1981 (with corrections made at 46...

... authority or control with respect to the investment of the plan assets involved in the **transaction**, or renders investment advice with respect to those assets;

\* The plan receives from the borrower...

...of which are at least as favourable to the plan as an arm's-length **transaction** with an unrelated party would be;

\* The plan either receives a reasonable fee or has...

... obligations and expenses not covered by the collateral plus interest at a reasonable rate.

Prohibited **Transaction** Exemption 82-63 (47 FR 14804) issued April 6 1982 (with corrections made at 47...

...with each other, each member or member organization shall have the right

to liquidate the **transaction** whenever the other party:

\* applies for or consents to, or is the subject of an...Stock Exchange (ASE)--ASE Rule 812 (Security Loans) indicates that if a party to a **transaction** is partially unsecured due to a change in market value, then that party can make a demand on the other party for an amount **covering** the **difference** between the contract **price** and the market price. Rules 860 through 866 of the ASE also dictate some of...  
...of the Act.

#### ARE OF CONCERN RISK OF LOSS

The participants in a securities lending **transaction** recognise that there are several risks inherent in such a **transaction**. Agreements between lenders and agents typically provide that the lender bears the risk of loss  
...

... degree of coverage and depend on the parties' bargaining power and the economics of the **transaction**. Another element is the question of how losses in a securities lending program are allocated...regarding securities lending and also presents basic concepts and issues surrounding a typical securities lending **transaction**. The business is large and growing. It facilitates a need of the securities industry and...

18/3,K/3 (Item 1 from file: 476)  
DIALOG(R) File 476:Financial Times Fulltext  
(c) 2004 Financial Times Ltd. All rts. reserv.

0008037808 B0FB0DKAAQFT  
The Barings Crisis: Complex jigsaw of trades emerging - How the deal was made and lost  
RICHARD LAPPER  
Financial Times, P 2  
Monday, February 27, 1995  
DOCUMENT TYPE: NEWSPAPER LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
Word Count: 663

...Singapore and Osaka insist that an owner of a futures contract must pay variation margin - **covering** the **difference** between the **price** at which the contracts were bought and their daily market price at the end of each day.

'Every day your **broker** sends slips in saying this is how much you are down. You get it every... .

...price - on the contract.

The effect of this would have been to leverage up the **transaction** , transforming an already highly geared trading strategy into a perilous double-or-quits game.

After...

? show files  
File 15:ABI/Inform(R) 1971-2004/Feb 20  
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File 16:Gale Group PROMT(R) 1990-2004/Feb 20  
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File 148:Gale Group Trade & Industry DB 1976-2004/Feb 20  
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File 160:Gale Group PROMI(R) 1972-1989  
(c) 1999 The Gale Group  
File 275:Gale Group Computer DB(TM) 1983-2004/Feb 20  
(c) 2004 The Gale Group  
File 621:Gale Group New Prod.Annou.(R) 1985-2004/Feb 20  
(c) 2004 The Gale Group  
File 9:Business & Industry(R) Jul/1994-2004/Feb 18  
(c) 2004 Resp. DB Svcs.  
File 20:Dialog Global Reporter 1997-2004/Feb 20  
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File 476:Financial Times Fulltext 1982-2004/Feb 20  
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File 610:Business Wire 1999-2004/Feb 20  
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File 634:San Jose Mercury Jun 1985-2004/Feb 19  
(c) 2004 San Jose Mercury News  
File 636:Gale Group Newsletter DB(TM) 1987-2004/Feb 20  
(c) 2004 The Gale Group  
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File 13:BAMP 2004/Feb W1  
(c) 2004 Resp. DB Svcs.  
File 75:TGG Management Contents(R) 86-2004/Feb W2  
(c) 2004 The Gale Group  
File 95:TEME-Technology & Management 1989-2004/Feb W1  
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Ginger R. DeMille

ASRC Aerospace Corporation  
US Patent & Trademark Office  
Scientific & Technical Information Center - EIC 3600  
Phone: (703) 305-5774  
Fax: (703) 306-5758  
ginger.demille@uspto.gov

## Nguyen, Cuong

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ISSN: 0014-2433 JRNL CODE: ERM

WORD COUNT: 2554

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09881726 Supplier Number: 87530442 (USE FORMAT 7 FOR FULLTEXT)

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Williams, Jeffrey Ross

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June 20, 2002

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Catalog Age, v16, n13, p10

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INDEPENDENT ON SUNDAY

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02043984 56487969

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Credit Union Management v23n7 PP: 36-40 Jul 2000

ISSN: 0273-9267 JRNL CODE: CUM

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In conjunction with its auto loan...

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00934629 95-84021

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...by and to brokers and dealers.

Section 220.16 of Regulation T states that a **broker** or dealer may borrow or lend securities for the purpose of making delivery of the...with respect to securities lending. Paragraph (b)(1) of the rule generally provides that a **broker** or dealer shall promptly obtain and maintain the physical possession or control of all fully-paid securities and excess margin securities carried by a **broker** or dealer for the account of customers. Since the definition of customer under Rule 15c3-3 is quite encompassing, a **broker** or dealer would not be able to enter into securities lending transactions with a customer...

... However, paragraph (b)(3) provides an exception to retaining physical possession by providing that a **broker** or dealer shall not be deemed to be in violation of the provisions of paragraph (b)(1) if the **broker** or dealer and the lender, at or before the time of the loan, enter into...

... securities actually borrowed at the time of the borrowing of the securities;

\* Specifies that the **broker** or dealer (A) must provide to the lender, upon the execution of the agreement or...

... day exceeds 100 per cent of the collateral then held by the lender, the borrowing **broker** or dealer must provide additional collateral of the type described in proviso (iii)(A) above...

... Protection Act of 1970 may not protect the lender with respect to the securities loan **transaction** and that, therefore, the collateral delivered to the lender may constitute the only source of satisfaction of the **broker**'s or dealer's obligation in the event the **broker** or dealer fails to return the securities.

DEPARTMENT OF LABOR PROHIBITED **TRANSACTION** EXEMPTIONS 81- ...to the pension plans. The Department of Labor issued two exemptions for Erisa plans. Prohibited **Transaction** Exemption 81-6 (46 FR 7527) issued January 23, 1981 (with corrections made at 46...

... authority or control with respect to the investment of the plan assets involved in the **transaction**, or renders investment advice with respect to those assets;

\* The plan receives from the borrower...

...of which are at least as favourable to the plan as an arm's-length **transaction** with an unrelated party would be;

\* The plan either receives a reasonable fee or has...

... obligations and expenses not covered by the collateral plus interest at a reasonable rate.

Prohibited **Transaction** Exemption 82-63 (47 FR 14804) issued April 6 1982 (with corrections made at 47...

...with each other, each member or member organization shall have the right

to liquidate the ~~transaction~~ whenever the other party.

\* applies for or consents to, or is the subject of an...Stock Exchange (ASE)--ASE Rule 812 (Security Loans) indicates that if a party to a **transaction** is partially unsecured due to a change in market value, then that party can make a demand on the other party for an amount **covering** the **difference** between the contract **price** and the market price. Rules 860 through 866 of the ASE also dictate some of...  
...of the Act.

#### ARE OF CONCERN RISK OF LOSS

The participants in a securities lending **transaction** recognise that there are several risks inherent in such a **transaction**. Agreements between lenders and agents typically provide that the lender bears the risk of loss  
...

... degree of coverage and depend on the parties' bargaining power and the economics of the **transaction**. Another element is the question of how losses in a securities lending program are allocated...regarding securities lending and also presents basic concepts and issues surrounding a typical securities lending **transaction**. The business is large and growing. It facilitates a need of the securities industry and...

18/3,K/3 (Item 1 from file: 476)

DIALOG(R)File 476:Financial Times Fulltext  
(c) 2004 Financial Times Ltd. All rts. reserv.

0008037808 B0FB0DKAAQFT

**The Barings Crisis: Complex jigsaw of trades emerging - How the deal was made and lost**

RICHARD LAPPER

Financial Times, P 2

Monday, February 27, 1995

DOCUMENT TYPE: NEWSPAPER LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

Word Count: 663

A

...Singapore and Osaka insist that an owner of a futures contract must pay variation margin - **covering** the **difference** between the **price** at which the contracts were bought and their daily market price at the end of each day.

'Every day your **broker** sends slips in saying this is how much you are down. You get it every...

...price - on the contract.

The effect of this would have been to leverage up the **transaction**, transforming an already highly geared trading strategy into a perilous double-or-quits game.

After...

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04793873 Supplier Number: 47054650

**Nasdaq's new world order.**

Dutt, Jill

The Washington Post, pC1

Jan 21, 1997

Language: English Record Type: Abstract

Document Type: Newspaper; General Trade

**ABSTRACT:**

...new rules put into effect by the Securities and Exchange Commission. The "spread" is the **difference** between the **cost** of a share bought by the **broker** and the **price** the customer **pays** for that share. The new rules are designed to help public customers get better prices...

**23/3,K/5 (Item 1 from file: 148)**

DIALOG(R) File 148:Gale Group Trade & Industry DB

(c)2004 The Gale Group. All rts. reserv.

10173675 SUPPLIER NUMBER: 20480477 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Agencies Pay for Fear of Hedging, Analysts Say.**

Kovski, Alan

Oil Daily, v48, n70, p1(1)

April 13, 1998

ISSN: 0030-1434 LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 784 LINE COUNT: 00062

... broker through a competitive bid.

It is a fixed-for-floating swap. Marta pays the **difference** if the market **price** is lower; the counterparty **broker covers** the **difference** if the market **price** is higher.

Hedging has saved Atlanta \$2.2 million over the last decade, said Marta...

**23/3,K/6 (Item 2 from file: 148)**

DIALOG(R) File 148:Gale Group Trade & Industry DB

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07582417 SUPPLIER NUMBER: 16465198 (USE FORMAT 7 OR 9 FOR FULL TEXT)

**Why it pays to buy funds through a discount broker. (mutual funds) (includes related articles) (1995 Financial Planning Guide)**

Weber, Diane

Medical Economics, v71, n21, p133(5)

Nov 7, 1994

ISSN: 0025-7206 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT

WORD COUNT: 2278 LINE COUNT: 00171

... broker to fax you a list of prices. Ask the brokers about the spreads--the **difference** between the "bid" **price** the **broker pays** and the "ask" **price** you'd pay--to weed out any that are overpriced. Prices can change daily, though...

**23/3,K/7 (Item 1 from file: 20)**

DIALOG(R) File 20:Dialog Global Reporter

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